



Senior Executive Service Performance Planning and Appraisal



Incumbent Executive _____

Title _____

Organization _____ Installation _____

Performance Period: July 1, _____ to June 30, _____ If other, from _____ to _____

Performance Plan Development

Performance criteria for the above period have been established and provided to the Incumbent Executive.

Incumbent Executive Signature _____ Date _____

Supervisory Official Name and Signature _____ Date _____

Progress Review

A minimum of one review must be conducted within 30 days of December 31. If performance expectations have changed, the plan should be documented accordingly.

A Progress Review has been conducted by Incumbent Executive and Supervisory Official.

Incumbent Executive Signature _____ Date _____

Supervisory Official Signature _____ Date _____

Performance Appraisal - Initial Summary Rating

RATING LEVEL (Check One)

☐ OUTSTANDING ☐ HIGHLY SUCCESSFUL ☐ FULLY SUCCESSFUL ☐ MINIMALLY SATISFACTORY ☐ UNSATISFACTORY

Supervisory Official Signature _____ Date _____

INCUMBENT EXECUTIVE RESPONSE/REQUEST FOR REVIEW

- ☐ I do not wish to provide a written response and/or request a higher level review.
- ☐ I wish to provide a written response. (Complete Appendix A.) Response must be submitted within 10 days of receipt of Initial Summary Rating.
- ☐ I wish to request a higher level review. (Complete Appendix A.)

Incumbent Executive Signature _____ Date _____

Management and Performance Review Board/Senior Executive Committee Reviews

Complete the following, or complete Appendix A, if the Incumbent Executive has provided a written response or requested a higher level review, or the Executive Position Manager or the Performance Review Board/Senior Executive Committee recommend an alternate Rating Level.

EXECUTIVE POSITION MANAGER:

I concur with the Initial Summary Rating.

Name and Signature _____ Date _____

PERFORMANCE REVIEW BOARD/SENIOR EXECUTIVE COMMITTEE:

We concur with and recommend the Initial Summary Rating to the NASA Administrator or Designee.

Signature of Official Designee _____ Date _____

NASA ADMINISTRATOR OR DESIGNEE:

The Initial Summary Rating is approved and designated as the Annual Summary Rating. Date Approved _____

SENIOR EXECUTIVE SERVICE PERFORMANCE PLANNING AND APPRAISAL

OVERVIEW - The NASA Performance Management System for the Senior Executive Service (SES) encourages excellence in performance, facilitates the accurate evaluation of performance based on performance results, provides for the systematic appraisal of performance, and provides a basis for pay, awards, development, retention, removal and other personnel decisions. The system enhances the achievement of Agency goals by expecting and encouraging managerial excellence in individual and organizational performance and holding executives accountable for results. The system focuses on improved communication and goal clarity and provides for participative performance planning, setting and communicating individual and organizational goals and expectations that are linked to strategic planning initiatives and the results oriented goals of the Government Performance and Results Act of 1993, continual performance monitoring to assess achievements, and annual appraisals of performance using measures that balance organizational results with customer, employee and stake holder perspectives. Active participation of the senior executive with the supervisor in the total performance appraisal process is important to overall system effectiveness.

PERFORMANCE PLANNING

The immediate supervisor, in consultation with the senior executive, defines Performance Requirements for the appraisal period for each critical element and documents them in the senior executive's performance plan. Each plan will include Critical Elements 1-6. Supervisory positions will also include Critical Element 7. Performance Requirements are written at the "Fully Successful" level for each Element. In consultation with the Incumbent Executive, the generic Performance Requirement provided for each Critical Element may be modified.

PROGRESS REVIEW

At a minimum, one progress review must be conducted between December 1 and January 31. The plan should be signed and dated to document the midterm review. If the performance plan is changed, the changes should be documented in the plan.

PERFORMANCE ASSESSMENT AND RATING DEFINITIONS

At the end of the appraisal period the immediate supervisor and the senior executive discuss the actual individual and organization achievements during the appraisal period. Performance is assessed by the immediate supervisor based on individual and organizational performance taking into account such factors as results achieved in accordance with the goals of the Government Performance and Results Act of 1993, the effectiveness, productivity and performance of assigned employees, meeting safety and diversity goals and complying with merit system principles. Customer, employee and other stake holder perspectives will be considered in this assessment.

RATING DEFINITIONS

OUTSTANDING - Element Rating: Performance exceeds performance requirements to an exceptional degree. Summary Rating: Performance in the total position exceeds performance requirements to an exceptional degree, normally, when all elements are rated "Outstanding".

HIGHLY SUCCESSFUL - Element Rating: Performance exceeds performance requirements to a substantial degree. Summary Rating: Performance in the total position exceeds performance requirements to a substantial degree, normally, when one or more elements are rated "Highly Successful", and no more than one element is rated "Fully Successful", and no elements are rated below "Fully Successful".

FULLY SUCCESSFUL - Element Rating: Performance fully meets performance requirements. Summary Rating: Performance in the total position fully meets performance requirements, normally, when two or more elements are rated "Fully Successful" and no elements are rated below "Fully Successful".

MINIMALLY SATISFACTORY - Element Rating: Performance only partially meets performance requirements. Summary Rating: Performance in the total position only partially meets performance requirements, normally, when one or more elements are rated "Minimally Satisfactory" and no elements are rated below "Minimally Satisfactory".

UNSATISFACTORY - Element Rating: Performance does not meet performance requirements. Summary Rating: Performance in the total position does not meet performance expectations, normally, when any element is rated "Unsatisfactory".

* Any deviation must be fully justified in the Overall Performance Assessment Narrative of the appraisal form and be approved by the Performance Review Board.



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Senior Executive Service Performance and Appraisal Critical Elements



A Critical Element is a key component of an executive's work that contributes to organizational goals and results and is so important that unsatisfactory performance of it would make the executive's overall job performance unsatisfactory.

1. PRESIDENT'S MANAGEMENT AGENDA

Understands the principles of the President's Management Agenda and actively applies them. Assures maximum organizational efficiency, is customer focused, and incorporates Presidential priorities in budget and performance plans. Capitalizes on opportunities to integrate human capital issues in planning and performance, expand e-government and competitive sourcing, pursues other opportunities to reduce costs and improve service to customers.

PERFORMANCE REQUIREMENT

Applicable provisions of the Agency Human Capital Plan are implemented; financial reports are timely and accurate; clear, measurable programmatic goals and outcomes are linked to the Agency Strategic Plan and GPRA Performance Plan; human capital, e-government and competitive sourcing goals are achieved.

ELEMENT RATING

☐ OUTSTANDING
 ☐ HIGHLY SUCCESSFUL
 ☐ FULLY SUCCESSFUL
 ☐ MINIMALLY SATISFACTORY
 ☐ UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS

2. HEALTH OF NASA

Actions contribute to safe and successful mission accomplishment and/or strengthen infrastructure of support functions; increases efficient and effective management of the Agency. Facilitates knowledge sharing within and between programs and projects. Displays unquestioned personal integrity and commitment to safety.

PERFORMANCE REQUIREMENT

Demonstrates that safety is the organization's number one value. Actively participates in safety and health activities, supports the zero lost-time injury goal and takes timely action to improve workforce health and safety. Meets or exceeds cost and schedule milestones and develops creative mechanisms and/or capitalizes on opportunities to facilitate knowledge sharing. Achieves maximum organizational efficiency through effective resource utilization and management.

ELEMENT RATING

☐ OUTSTANDING
 ☐ HIGHLY SUCCESSFUL
 ☐ FULLY SUCCESSFUL
 ☐ MINIMALLY SATISFACTORY
 ☐ UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS



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Senior Executive Service Performance and Appraisal Critical Elements



3. EQUAL OPPORTUNITY (EO) AND DIVERSITY

Demonstrates a commitment to equal opportunity and diversity by proactively implementing programs that positively impact the workplace and NASA's external stakeholders and through voluntary compliance with EO laws, regulations, policies, and practices. This includes such actions as ensuring equal opportunity in hiring by providing, if needed, reasonable accommodation(s) to an otherwise qualified individual with a disability; or ensuring equal opportunity without regard to race, color, national origin, sex, sexual orientation, or religion in all personnel decisions, and in the award of grants or other Federal funds to stakeholder recipients.

PERFORMANCE REQUIREMENT

Actively supports EO/Diversity efforts. Consistently follows applicable EO laws, regulations, Executive Orders, Administration and NASA policies, and the principles thereof in decisionmaking with regard to employment actions and the award of Federal grants and funds. Cooperates with and provides a timely and complete response to NASA's Discrimination Complaints Division, EEOC, and the Courts during the investigation, resolution and/or litigation of allegations of illegal discrimination under applicable EO laws, and regulations.

ELEMENT RATING

☐ OUTSTANDING
 ☐ HIGHLY SUCCESSFUL
 ☐ FULLY SUCCESSFUL
 ☐ MINIMALLY SATISFACTORY
 ☐ UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS

4. COLLABORATION

Integrates One-NASA approach to problem-solving, program/project management, and decisionmaking. Leads by example by reaching out to other organizations and NASA Centers to collaborate on work products; seeks input and expertise from a broad spectrum. Demonstrates possession of organizational and interpersonal skills.

PERFORMANCE REQUIREMENT

Provides the appropriate level of high quality support to peers and other organizations to enable the achievement of the NASA mission. Results demonstrate support of One-NASA and that stakeholder and customer issues were taken into account.

ELEMENT RATING

☐ OUTSTANDING
 ☐ HIGHLY SUCCESSFUL
 ☐ FULLY SUCCESSFUL
 ☐ MINIMALLY SATISFACTORY
 ☐ UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS



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Senior Executive Service Performance and Appraisal Critical Elements



5. PROFESSIONAL DEVELOPMENT

Has a breadth of experience in different organizations, agencies, functional areas, and/or geographic locations. Demonstrates continual learning in functional and leadership areas, e.g., through advanced education/training or participating in seminars. Encourages and supports development and training of assigned staff. Where feasible, seeks, accepts, and encourages opportunities for developmental assignments in other functional areas and elsewhere in NASA, with a focus on broadening Agencywide perspective.

PERFORMANCE REQUIREMENT

Participates in training/learning experiences appropriate to position responsibilities and to broaden Agencywide perspective. Actively plans for and supports the participation of subordinate staff in training and development activities.

ELEMENT RATING

☐ OUTSTANDING
 ☐ HIGHLY SUCCESSFUL
 ☐ FULLY SUCCESSFUL
 ☐ MINIMALLY SATISFACTORY
 ☐ UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS

6. MEETS PROGRAM OBJECTIVES

Meets and advances established Agency program objectives and achieves high-quality results. Demonstrates the ability to follow through on commitments. Individual fits into long-term human capital strategy and could be expected to make future contributions at a higher level or in a different capacity at the same level.

PERFORMANCE REQUIREMENT

Meets appropriate GPRA/NASA Strategic Plan goals and objectives. Customers recognize results for their high quality and responsiveness to requirements/agreements.

ELEMENT RATING

☐ OUTSTANDING
 ☐ HIGHLY SUCCESSFUL
 ☐ FULLY SUCCESSFUL
 ☐ MINIMALLY SATISFACTORY
 ☐ UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS



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Senior Executive Service Performance and Appraisal Additional Critical Element



7. IMPLEMENTS A FAIR AND EQUITABLE PERFORMANCE-BASED SYSTEM WITHIN ORGANIZATION

COMPONENT (*Applicable only for supervisory positions*)

Implements/utilizes a fair, equitable, and merit/performance-based process/system for the evaluation of individuals for bonuses, promotions, career advancement, and general recognition.

PERFORMANCE REQUIREMENT

System reflects the key leadership, teamwork and professional excellence on which decisions are based. Results have credibility with supervisors, subordinates and peers.

ELEMENT RATING

☐ OUTSTANDING
 ☐ HIGHLY SUCCESSFUL
 ☐ FULLY SUCCESSFUL
 ☐ MINIMALLY SATISFACTORY
 ☐ UNSATISFACTORY

PERFORMANCE ASSESSMENT COMMENTS



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Senior Executive Service Performance and Appraisal Overall Performance Assessment Narrative



Comment on significant aspects of the senior executive's total job performance including: Achievements or results, behaviors observed that affect job performance, or factors beyond the senior executive's control. *(Comments may be continued on the reverse of this page.)*